

for the

Securities and Exchange Commission

Plaintiff(s)

 $\mathbf{v}_i$ 

Garrett M. O'Rourke and Michael J. Black

Defendant(s)

Civil Action No. 19-cv-4137

To: *(Defendant's name and address)* Garrett M. O'Rourke  
2301 Collins Ave, Apt. 1615  
Miami Beach FL 33139-1630

Within 21 days after service of this summons on you (not counting the day you received it) — or 60 days if you are the United States or a United States agency, or an officer or employee of the United States described in Fed. R. Civ. P. 12 (a)(2) or (3) — you must serve on the plaintiff an answer to the attached complaint or a motion under Rule 12 of the Federal Rules of Civil Procedure. The answer or motion must be served on the plaintiff or plaintiff's attorney, whose name and address are: Sandeep Satawaleker  
SEC New York Regional Office  
200 Vesey Street Suite 400  
New York, NY 10281

If you fail to respond, judgment by default will be entered against you for the relief demanded in the complaint. You also must file your answer or motion with the court.



DOUGLAS C. PALMER  
CLERK OF COURT

Date: 07/18/2019

SONIA GALEANO

*Signature of Clerk or Deputy Clerk*

AO 440 (Rev. 06/12) Summons in a Civil Action (Page 2)

Civil Action No. 19-cv-4137

**PROOF OF SERVICE**

*(This section should not be filed with the court unless required by Fed. R. Civ. P. 4 (l))*

This summons for (name of individual and title, if any) Garrett O'Rourke  
was received by me on (date) July 19, 2019.

☐ I personally served the summons on the individual at (place) \_\_\_\_\_  
on (date) \_\_\_\_\_; or

☐ I left the summons at the individual's residence or usual place of abode with (name) \_\_\_\_\_  
\_\_\_\_\_, a person of suitable age and discretion who resides there,  
on (date) \_\_\_\_\_, and mailed a copy to the individual's last known address; or

☐ I served the summons on (name of individual) \_\_\_\_\_, who is  
designated by law to accept service of process on behalf of (name of organization) \_\_\_\_\_  
on (date) \_\_\_\_\_; or

☐ I returned the summons unexecuted because \_\_\_\_\_; or

☒ Other (specify): As permitted by Order to Show Cause, dated July 17, 2019, at IP II,  
Service of summons, complaint, Order to Show Cause and supporting  
documents was effected on July 19, 2019 by email to g-orourke52@hotmail.com.  
See attached emails

My fees are \$ \_\_\_\_\_ for travel and \$ \_\_\_\_\_ for services, for a total of \$ 0.00.

I declare under penalty of perjury that this information is true.

Date: July 19, 2019

Kathleen Shields  
Server's signature

Kathleen Shields, Senior Trial Counsel  
Printed name and title

Securities and Exchange Commission  
33 Arch St., 24th Floor  
Boston MA 02110  
Server's address

Additional information regarding attempted service, etc:

## Shields, Kathleen (BRO)

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**From:** Shields, Kathleen (BRO)  
**Sent:** Friday, July 19, 2019 12:31 PM  
**To:** g\_orourke52@hotmail.com  
**Cc:** Forni, Eric  
**Subject:** SEC v. O'Rourke and Black, Civil No. 19-cv-4137 (E.D.N.Y.) - message 1 of 4

Dear Mr. O'Rourke:

The Securities and Exchange Commission ("SEC") has filed a lawsuit against you. Attached for service in this matter (as permitted by paragraph II of the Court's Order to Show Cause) are the following pleadings:

1. Complaint
2. Civil Cover Sheet
3. Summons
4. SEC's Application for an Order to Show Cause, Temporary Restraining Order, Order Freezing Assets and Order Granting Other Relief ("Order to Show Cause")
5. Declaration of Trevor Donelan
6. Declaration of Eric Forni
7. Memorandum of Law in Support of SEC's Application for an Order to Show Cause
8. SEC's Proposed Order to Show Cause
9. Court Notice
10. Order to Show Cause Issued by the Court

Given the size of these documents, I will send documents numbered 4-10 in the list above in 3 additional email messages.



02. 07.17.19 ECF  
No. 1, Compla...



02. 07.17.19 ECF  
No. 1-1, Civi...



O'Rourke  
Summons.pdf

Please contact me, or my colleague Eric Forni, who is copied on this email, if you would like to discuss this matter.

- Kathleen Shields

Kathleen Burdette Shields  
U. S. Securities and Exchange Commission  
Boston Regional Office  
33 Arch St., 24th Floor  
Boston, MA 02110  
Telephone: (617) 573-8904  
Facsimile: (617) 573-4590  
shieldska@sec.gov

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Attached are pleadings 4-6 on the attached list.



03. 07.17.19 ECF No. 2-2, LR 6...    03. 07.17.19 ECF No. 2-1, Decl...    03. 07.17.19 ECF No. 2, SEC's ...

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<< File: 02. 07.17.19 ECF No. 1, Complaint.pdf >> << File: 02. 07.17.19 ECF No. 1-1, Civil Cover Sheet.pdf >> << File: O'Rourke Summons.pdf >>

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- Kathleen Shields

Kathleen Burdette Shields  
U. S. Securities and Exchange Commission

Boston Regional Office  
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Boston, MA 02110  
Telephone: (617) 573-8904  
Facsimile: (617) 573-4590  
[shieldska@sec.gov](mailto:shieldska@sec.gov)

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Attached are pleadings #7 and 8 on the list below.



03. 07.17.19 ECF No. 2-3, MOL ... 04. 07.17.19 ECF No. 3, [Propo...

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Attached are pleadings # 9 and 10 on the list below.



05. 07.17.19 ECF  
No. 4, Court ...



03. 07.17.19  
TRO.pdf

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